



## **DEPARTMENT OF HOMELAND SECURITY**

Office of the Secretary

[Docket No. DHS-2014-0067]

Privacy Act of 1974; Department of Homeland Security /United States Coast Guard –  
006 Great Lakes Registered Pilot and Applicant Pilot Eligibility System of Records

**AGENCY:** Department of Homeland Security, Privacy Office.

**ACTION:** Notice of Privacy Act System of Records.

**SUMMARY:** In accordance with the Privacy Act of 1974, the Department of Homeland Security proposes to update and reissue a current Department of Homeland Security system of records titled, “Department of Homeland Security/United States Coast Guard Great Lakes Registered Pilot and Applicant Pilot Eligibility Records.” This system of records allows the Department of Homeland Security/United States Coast Guard to collect and preserve the records related to applicant and registered pilots that assist USCG in meeting its statutory obligation to establish, regulate, and oversee the operations of a pilotage system on the Great Lakes. As a result of the biennial review of this system USCG had modified or amended: (1) system location records category; (2) categories of records; (3) system manager and address category; and (4) notification procedure categories. Additionally, this notice includes non-substantive changes to simplify the formatting and text of the previously published notice. This updated system will be included in the Department of Homeland Security’s inventory of record systems.

**DATES:** Submit comments on or before [INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER]. This updated system will be effective

[INSERT DATE 30 DAYS AFTER DATE OF PUBLICATION IN THE FEDERAL REGISTER].

**ADDRESSES:** You may submit comments, identified by docket number DHS-2014-0067 by one of the following methods:

- Federal e-Rulemaking Portal: <http://www.regulations.gov>. Follow the instructions for submitting comments.
- Fax: 202-343-4010.
- Mail: Karen L. Neuman, Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, D.C. 20528.

**Instructions:** All submissions received must include the agency name and docket number for this rulemaking. All comments received will be posted without change to <http://www.regulations.gov>, including any personal information provided.

**Docket:** For access to the docket to read background documents or comments received, please visit <http://www.regulations.gov>.

**FOR FURTHER INFORMATION CONTACT:** For general questions, please contact: Marilyn Scott-Perez (202) 475-3515, Privacy Officer, Commandant (CG-61), United States Coast Guard, Mail Stop 7710, Washington, D.C. 20593. For privacy questions, please contact: Karen L. Neuman, (202) 343-1717, Chief Privacy Officer, Privacy Office, Department of Homeland Security, Washington, D.C. 20528.

**SUPPLEMENTARY INFORMATION:**

I. Background

In accordance with the Privacy Act of 1974, 5 U.S.C. 552a, the Department of Homeland Security (DHS) United States Coast Guard (USCG) proposes to update and reissue a current DHS system of records titled, “DHS/United States Coast Guard-006 Great Lakes Registered Pilot and Applicant Pilot Eligibility System of Records. The collection and maintenance of this information will assist DHS/USCG in meeting its statutory obligation to establish, regulate, and oversee the operations of a pilotage system on the Great Lakes. The DHS/USCG-006 Great Lakes Registered Pilot and Applicant Pilot Eligibility System of Records is the USCG’s record system used to maintain records of individuals who are registered as Great Lakes pilots to perform pilotage duties aboard foreign trade vessels on the Great Lakes, and to maintain applications of mariners seeking registration as a Great Lakes registered pilot. As a result of a biennial review of the system, USCG has updated , (1) the system location to declare the new command name (Office of Waterways and Ocean Policy, Great Lakes Pilotage Division) and the new office symbol (CG-WWM-2); (2) the categories of records in the system to remove the annual report of physical examination and drug testing records no longer maintained by this system; and (3) the system manager and address category to include the new command name, office symbol, and mail stop.

Consistent with DHS’s information-sharing mission, information stored in the DHS/USCG-006 Great Lakes Registered Pilot and Applicant Pilot Eligibility Records may be shared with other DHS components that have a need to know the information to carry out their national security, law enforcement, immigration, intelligence, or other homeland security functions. In addition, information may be shared with appropriate

federal, state, local, tribal, territorial, foreign, or international government agencies consistent with the routine uses set forth in this system of records notice.

This updated system will be included in DHS's inventory of record systems.

## II. Privacy Act

The Privacy Act embodies fair information practice principles in a statutory framework governing the means by which Federal Government agencies collect, maintain, use, and disseminate individuals' records. The Privacy Act applies to information that is maintained in a "system of records." A "system of records" is a group of any records under the control of an agency from which information is retrieved by the name of an individual or by some identifying number, symbol, or other identifying particular assigned to the individual. In the Privacy Act, an individual is defined to encompass U.S. citizens and lawful permanent residents. As a matter of policy, DHS extends administrative Privacy Act protections to all individuals when systems of records maintain information on U.S. citizens, lawful permanent residents, and visitors.

Below is the description of the DHS/USCG-006 Great Lakes Registered Pilot and Applicant Pilot Eligibility Records.

In accordance with 5 U.S.C. 552a(r), DHS has provided a report of this system of records to the Office of Management and Budget and to Congress.

### **System of Records**

Department of Homeland Security (DHS)/USCG –006

**System name:**

DHS/USCG-006 Great Lakes Registered Pilot and Applicant Pilot Eligibility Records.

**Security classification:**

Unclassified

**System location:**

USCG maintains records at USCG Headquarters in the Office of Waterways and Ocean Policy, Great Lakes Pilotage Division, (CG-WWM-2) in Washington, D.C. 20593. Merchant Mariner Licensing and Documentation (MMLD) System is the information technology repository for Great Lakes registered pilot and applicant pilot records.

**Categories of individuals covered by the system:**

All United States Great Lakes registered pilots who are qualified to perform pilotage duties aboard foreign trade vessels on the Great Lakes; those individuals seeking selection as an applicant pilot on the Great Lakes; and those individuals whose applications were rejected as a pilot on the Great Lakes.

**Categories of records in the system:**

- Full name (including maiden name, if applicable);
- Home address;
- Date and place of birth;
- Photograph;
- Country of citizenship;
- Social Security number;
- Color of eyes, hair, weight, and height;

- Application for registration;
- Renewal of registration;
- Coast Guard license and merchant mariner document data;
- Examination and test results for registration; and
- Sea service record and other related documentation provided by pilot or applicant.

**Authority for maintenance of the system:**

Departmental Regulations, 5 U.S.C. 301; 14 U.S.C. 632; the Federal Records Act, 44 U.S.C. 3101; 49 CFR 1.45, 1.46; 46 U.S.C. 9301-9308.

**Purpose(s):**

The purpose of this system is to assist USCG in meeting its statutory obligation to establish, regulate, and oversee the operations of a pilotage system on the Great Lakes, to maintain records of individuals who are registered as Great Lakes pilots to perform pilotage duties aboard foreign trade vessels on the Great Lakes, and to maintain applications of mariners seeking registration as a Great Lakes pilot.

**Routine uses of records maintained in the system, including categories of users and the purposes of such uses:**

In addition to those disclosures generally permitted under 5 U.S.C. 552a(b) of the Privacy Act, all or a portion of the records or information contained in this system may be disclosed outside DHS as a routine use pursuant to 5 U.S.C. 552a(b)(3) as follows:

A. To the Department of Justice (DOJ), including Offices of the United States Attorneys, or other federal agency conducting litigation or in proceedings before any court, adjudicative, or administrative body, when it is relevant or necessary to the

litigation and one of the following is a party to the litigation or has an interest in such litigation:

1. DHS or any component thereof;
2. Any employee or former employee of DHS in his/her official capacity;
3. Any employee or former employee of DHS in his/her individual capacity

when DOJ or DHS has agreed to represent the employee; or

4. The United States or any agency thereof.

B. To a congressional office from the record of an individual in response to an inquiry from that congressional office made at the request of the individual to whom the record pertains.

C. To the National Archives and Records Administration (NARA) or General Services Administration pursuant to records management inspections being conducted under the authority of 44 U.S.C. 2904 and 2906.

D. To an agency or organization for the purpose of performing audit or oversight operations as authorized by law, but only such information as is necessary and relevant to such audit or oversight function.

E. To appropriate agencies, entities, and persons when:

1. DHS suspects or has confirmed that the security or confidentiality of information in the system of records has been compromised;
2. DHS has determined that as a result of the suspected or confirmed compromise, there is a risk of identity theft or fraud, harm to economic or property interests, harm to an individual, or harm to the security or integrity of this system or other

systems or programs (whether maintained by DHS or another agency or entity) that rely upon the compromised information; and

3. The disclosure made to such agencies, entities, and persons is reasonably necessary to assist in connection with DHS's efforts to respond to the suspected or confirmed compromise and prevent, minimize, or remedy such harm.

F. To contractors and their agents, grantees, experts, consultants, and others performing or working on a contract, service, grant, cooperative agreement, or other assignment for DHS, when necessary to accomplish an agency function related to this system of records. Individuals provided information under this routine use are subject to the same Privacy Act requirements and limitations on disclosure as are applicable to DHS officers and employees.

G. To an appropriate federal, state, tribal, local, international, or foreign law enforcement agency or other appropriate authority charged with investigating or prosecuting a violation or enforcing or implementing a law, rule, regulation, or order, when a record, either on its face or in conjunction with other information, indicates a violation or potential violation of law, which includes criminal, civil, or regulatory violations and such disclosure is proper and consistent with the official duties of the person making the disclosure.

H. To assist training program needs, retirements, statistical compilations, and negotiations with Canadian authorities to ensure equitable participation by U.S. registered pilots with Canadian registered pilots.



I. To an appropriate Federal, state, local, tribal, territorial, foreign, or international agency, if the information is relevant and necessary to a requesting agency's decision concerning the hiring or retention of an individual, or issuance of a security clearance, license, contract, grant, or other benefit, or if the information is relevant and necessary to a DHS decision concerning the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit and when disclosure is appropriate to the proper performance of the official duties of the person making the request.

J. To the news media and the public, with the approval of the Chief Privacy Officer in consultation with counsel, when there exists a legitimate public interest in the disclosure of the information or when disclosure is necessary to preserve confidence in the integrity of DHS or is necessary to demonstrate the accountability of DHS's officers, employees, or individuals covered by the system, except to the extent it is determined that release of the specific information in the context of a particular case would constitute an unwarranted invasion of personal privacy.

**Disclosure to consumer reporting agencies:**

None.

**Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:**

**Storage:**

USCG stores records in this system electronically or on paper in secure facilities

in a locked drawer behind a locked door. The records may be stored on magnetic disc, tape, or digital media.

**Retrievability:**

USCG may retrieve records by name and pilot registration number.

**Safeguards:**

USCG safeguards records in this system in accordance with applicable rules and policies, including all applicable DHS automated systems security and access policies.

USCG imposes strict controls to minimize the risk of compromising the information that is being stored. Access to the computer system containing the records in this system is limited to those individuals who have a need to know the information for the performance of their official duties and who have appropriate clearances or permissions.

**Retention and disposal:**

USCG destroys records 6 years after the individual's license expires, upon death of the individual, or when the individual turns 70 years old, whichever is sooner. (AUTH: N1-26-05-2, Item 1).

**System Manager and address:**

Commandant (CG-WWM-2), Chief, Great Lakes Pilotage Division, United States Coast Guard, Mail Stop 7509, Washington, D.C. 20593.

**Notification procedure:**

Individuals seeking notification of and access to any record contained in this system of records, or seeking to contest its content, may submit a request in writing to the

Commandant, (CG-611), United States Coast Guard, Mail Stop 7710, Washington, D.C. 20593.

If an individual believes more than one component maintains Privacy Act records concerning him or her, the individual may submit the request to the Chief Privacy Officer and Chief Freedom of Information Act Officer, Department of Homeland Security, 245 Murray Drive, S.W., Building 410, STOP-0655, Washington, D.C. 20528.

When seeking records about yourself from this system of records or any other Departmental system of records, your request must conform with the Privacy Act regulations set forth in 6 CFR part 5. You must first verify your identity, meaning that you must provide your full name, current address, and date and place of birth. You must sign your request, and your signature must either be notarized or submitted under 28 U.S.C. 1746, a law that permits statements to be made under penalty of perjury as a substitute for notarization. While no specific form is required, you may obtain forms for this purpose from the Chief Privacy Officer and Chief Freedom of Information Act Officer, <http://www.dhs.gov/foia> or 1-866-431-0486. In addition, you should:

- Explain why you believe the Department would have information on you;
- Identify which component(s) of the Department you believe may have the information about you;
- Specify when you believe the records would have been created; and
- Provide any other information that will help the FOIA staff determine which DHS component agency may have responsive records; and

If your request is seeking records pertaining to another living individual, you must include a statement from that individual certifying his/her agreement for you to access his/her records.

Without the above information, the component(s) may not be able to conduct an effective search, and your request may be denied due to lack of specificity or lack of compliance with applicable regulations.

**Record access procedures:**

See "Notification procedure" above.

**Contesting record procedures:**

See "Notification procedure" above.

**Record source categories:**

USCG obtains records from the individual's original application for U.S. pilot's registration and individual's yearly report of medical examination.

**Exemptions claimed for the system:**

None.

Dated: November 18, 2014.

Karen L. Neuman

Chief Privacy Officer,

Department of Homeland Security.

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